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SENIOR INTELLIGENCE SERVICE

PLAN

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BASIC PROPOSALS
SENIOR EXECUTIVE SERVICE
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SENIOR INTELLIGENCE SERVICE

PLAN

FORWARD

The Office of Personnel Task Group, established to design and develop a Senior Intelligence Service (SIS) for those employees under the DCI's authority, has completed a detailed study of the data available on the Civil Service Reform Act's Senior Executive Service. This study encompassed the statutory provisions of the Act, interpretative material and guidances developed by the Office of Personnel Management and a review of the approaches, methodologies and processes developed by a number of other Federal agencies for implementation of the SES in their organizations.

The Task Group has concentrated on the development of an initial set of basic proposals on the fundamental architecture, principles, and primary sub-system structures for a system which will provide the framework for the establishment of the SIS operating program.

These initial proposals were developed on the basis of the following premises:

- a. that the overall system should be constructed along the general lines of the Federal Senior Executive Service but with adaptations as appropriate to better serve the particular needs of the DCI in accomplishing Agency missions;
- b. that the start-up structure and substance of the system should be as "simple" as practicable yet provide coverage for all basic programmatic elements essential to a viable operating system.

Modification to the initial program may be required or desirable in the future as the system becomes fully operational;

c. that a basic compensation sub-system patterned after President Carter's published SES salary range (e.g., Executive Scale 1 through Executive Scale 6) be established even though there are current indications that Congress may not lift the current limitation on executive level salaries for fiscal year 1980;

d. that in anticipation that Congress may not lift the current salary limitation, the SES performance award sub-system provides substantial monetary awards in recognition of and as incentives for excellence of performance.

To facilitate the review and consideration of the Task Group's initial proposals, they are presented in a section-by-section topical sequence with clarifying commentary as appropriate.

SECTION I

FUNDAMENTAL PROPOSALS

1. TOPICS: Name of System; Statutory Authority; and Rationale for

Establishing a Senior Executive Service System.

A. Name of System

Proposals: The system shall be called the "Senior Intelligence Service (SIS)."

B. Statutory Authority for the Senior Intelligence Service

Proposal: The legal authority for the DCI to establish a Senior Intelligence Service is contained in the National Security Act of 1947, as amended, (50 USC 403 et. seq.) and the Central Intelligence Agency Act of 1949, as amended, (50 USC 403a - 403j).

C. Rationale for Establishing a Senior Intelligence Service

Proposal: Exemption from the Civil Service Reform Act's Senior Executive Service was based upon Congressional recognition of the unique duties, responsibilities and authorities of the Director of Central Intelligence as defined in the National Security Act of 1947, as amended, (50 USC 403 et. seq.) and the Central Intelligence Agency Act of 1949, as amended, (50 USC 403a - 403j).

The principles and concepts of the Reform Act's Senior Executive Service provisions, however, are essentially sound. Adaptation of these principles offers excellent prospects for improving the effectiveness of the senior officer management system particularly the linkage of job performance evaluations to determinations of basic salaries and opportunities for additional performance compensation based on excellence.

D. Scope and Administration of Senior Intelligence Service

Proposal: The policies and procedures of the Senior Intelligence Service will be fully applicable to all organizational elements of both the Central Intelligence Agency and the Intelligence Community Staff with each managed and administered under separate but parallel systems.

COMMENTARY

None.

The above proposals are:

(☒) APPROVED (☐) DISAPPROVED

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Deputy Director of Central Intelligence

27 SEP 1979

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2. TOPIC: Scope of the Senior Intelligence Service System

Proposal: The SIS is conceived to be a total personnel system for the management of all senior level positions (GS-16 and equivalent SPS through EP-IV), authorized ceiling and senior level personnel. All currently designated grades GS-16 and equivalent SPS through EP-IV positions and personnel are recommended to be redesignated with Senior Intelligence Service (SIS) identifiers SIS-1 through SIS-6 as appropriate to distinguish between levels of managerial and/or substantive responsibility.

COMMENTARY:

The Federal Senior Executive Service under the Civil Service Reform Act of 1978 includes only managerial personnel and positions with senior non-managerial specialist/analyst personnel and positions retained under the current supergrade (GS-16-18) system. Agencies covered under the Civil Service Reform Act must, therefore, maintain two separate executive level personnel management systems, each with distinct and different sets of policies, principles and procedures.

The essential principle of the Reform Act's Senior Executive Service is to relate directly compensation of the individual to the relative level of work requirements levied on the individual and the quality of performance by the individual in carrying out his or her assigned responsibilities.

The Task Group believes this basic principle is applicable to all senior level personnel GS-16 and equivalent SPS through EP-IV and recommends their inclusion in the Senior Intelligence Service.

The above proposal is:

☒ APPROVED () DISAPPROVED

[REDACTED]

Deputy Director of Central Intelligence

27 SEP 1979

Date

SECTION II

PURPOSES AND PRINCIPLES OF THE SIS

1. TOPIC: Purposes of SIS

- Proposal:
- a. To ensure that senior officer management is of the highest quality and fully responsive to the needs, policies, and goals of the Nation.
 - b. To provide the Director of Central Intelligence with a centralized mechanism through which to develop equitable personnel management policies for senior officers and to direct and monitor their implementation and enforcement.
 - c. To develop and maintain a highly motivated and competent group of individuals capable of filling senior level positions and to provide the type of quality performance needed for the continued success in fulfilling the DCI's missions and functions.
 - d. To provide for a compensation system including salaries, benefits and incentives and for other conditions of employment designed to attract and retain highly competent senior officers.
 - e. To ensure the systematic development of highly competent candidates for entry into the SIS and the continuing development of personnel already members of the SIS.

- f. To provide for counseling, training and other assistance for those officers who are not performing to established standards to help them become successful performers.

COMMENTARY

None.

2. TOPIC: Principles of the SIS

- Proposal:
- a. The SIS will be operated in conformance with the merit principles as contained in CIA regulations.
 - b. The annual compensation awards system for senior level personnel (those currently in grades GS-16 and equivalent SPS through Executive Pay Level IV) will be based on merit that is directly related to an evaluation of actual performance on the job measured against established criteria and standards of performance. This is to be done with due recognition of progressively more difficult levels of organizational and/or substantive responsibilities.
 - c. Senior officers are accountable and responsible for the effectiveness and productivity of employees under their supervision.
 - d. Exceptional accomplishment will be recognized with timely and tangible performance awards.

- e. The regulations, policies and plans relative to equal opportunity and affirmative action will apply to all aspects of the SIS including appointments, reassignments, training and development, evaluation, compensation and awards. Individuals meeting employment standards established by the DCI will be considered for entry into SIS with full regard that the factors of race, color, sex, religion, age, national origin, political affiliation, marital status, physical impairment or any other non-meritorious factors will not adversely affect their consideration for entry into the SIS.

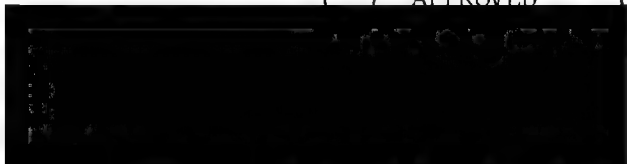
COMMENTARY

None.

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The above proposals are:

(☒) APPROVED (☐) DISAPPROVED



Deputy Director of Central Intelligence

27 SEP 1979

Date

SECTION III

SUB-SYSTEMS OF THE SIS

The Task Group has identified eleven sub-system structures basic to the establishment and implementation of the operating programs of the SIS. The general content, basic policies, principles and/or structures of these sub-systems are presented for consideration and approval. Approval of these basic proposals (and/or modifications as required) will permit the Task Group to proceed with the development of the necessary detailed proposals on the processes and procedures of how each sub-system will function. These sub-systems are:

- Sub-System 1 - Management Structure
- Sub-System 2 - The SIS Membership System
- Sub-System 3 - SIS Ceiling and Position Management Controls
- Sub-System 4 - The SIS Performance Appraisal System
- Sub-System 5 - Funding, Compensation and Awards
- Sub-System 6 - Competitive Promotion
- Sub-System 7 - Senior Intelligence Officer Development
- Sub-System 8 - Adverse and Other Administrative Actions
- Sub-System 9 - Evaluation of the SIS System
- Sub-System 10 - Initial Publicity and Orientation
- Sub-System 11 - Regulations and Procedural Guides

SUB-SYSTEM 1

MANAGEMENT STRUCTURE

SUB-SYSTEM CONTENT

This sub-system provides the mechanism through which the DCI/DDCI will direct and manage the Senior Intelligence Service.

The Task Group proposes that the SIS operate under the command direction of the DCI/DDCI with the advice and assistance of the Director of Personnel (who will establish a new Office of Personnel staff support element specifically dedicated to staff support for the SIS System) and a Senior Intelligence Service Advisory Committee (SISAC).

In addition, Senior Resources Boards are recommended to be established in each of the Directorates and the "E" Service.

In general terms, the Director of Personnel's responsibilities will deal with matters of policy, procedures and monitoring of SIS. The SISAC will serve as the senior advisory body to the DCI on SIS policy matters. The Senior Resources Boards in the Directorates and in the "E" Service will advise and assist the Deputy Directors and the Chairman, "E" Service in fulfilling their SIS responsibilities. In addition to being responsible for the entire SIS System, the DCI/DDCI will pay particular attention to the Executive Development aspects of SIS-4, 5 and 6 level officers. This additional responsibility will include not only approval of Performance Awards and promotions, but also guidance on key assignments and training to assure appropriate executive development experiences. The Deputy Directors and the Chairman, "E" Service, with the advice and assistance of the Senior Resources Boards, will administer the personnel management of SIS-1, SIS-2, and SIS-3 level officers and those aspects of SIS-4 personnel management as prescribed by the DCI/DDCI. More specifically:

A. Senior Intelligence Service Advisory Committee (SISAC)

The SISAC will consist of the DDCI (as Chairman), the four Directorate Deputy Directors, the Chairman, "E" Service, the Comptroller and the Director of Personnel. The Chief of the Director of Personnel's SIS Support Staff will serve as Executive Secretary.

The SISAC will serve as a senior advisory body to the DCI/DDCI on SIS policy matters.

B. Director of Personnel

1. The Director of Personnel, with the support and assistance of the Office of Personnel SIS Support Staff, will provide advice and recommendations to the DDCI on such matters as:

- (a) The formulation of policy and uniform standards for the SIS System.
- (b) Utilization of SIS positions.
- (c) In collaboration with the Comptroller, the allocation of SIS ceiling allowances to Career Services.
- (d) In collaboration with the Comptroller, determination of monetary resources available for performance awards and "rank" stipends and development of guidelines for their distribution to the major components.
- (e) Evaluation of the SIS operating program, including the Agency-wide SIS Development Program, to ensure Agency-wide equity and conformity with Agency SIS policies and standards.

2. The Director of Personnel also will:

- (a) Review performance appraisals and other documentation submitted with recommendations for performance awards and rank stipends by the Deputy Directors and the Chairman, "E" Service and forward all recommendations received to the DDCI for approval.
- (b) Provide centralized review, recommendations and support to the DDCI on promotion recommendations into and within the SIS levels as submitted to the DCI/DDCI.
- (c) Evaluate adverse action requests on SIS officers such as removal from SIS and termination of employment, and make recommendations to the DCI/DDCI.
- (d) Maintain official personnel records, files and periodic reports for SIS and its members.

C. Director of Personnel's SIS Support Staff

The SIS Support Staff is recommended, initially, to consist of a Chief, two Personnel Officers and one Personnel Assistant/Secretary to assist and support the Director of Personnel in carrying out the immediate functions and responsibilities required in the "start-up" phase of the institution of the SIS System. Appropriate augmentation of this staff will be required in the near future and as necessary to assist the Director of Personnel in carrying out his responsibilities as stated in (A) above and to advise and assist the DDCI, SISAC, the Directorate

Deputy Directors and the Chairman, "E" Service and the Senior Resources Boards on SIS matters.

D. Directorate Deputy Directors and Chairman, "E" Service

The Directorate Deputy Directors and the Chairman, "E" Service are responsible to the DCI/DDCI for the personnel management of SIS-1, 2 and 3 members under their direction and/or in their respective Career Services as prescribed by the DCI/DDCI. They are advised by and assisted in the performances of their senior personnel management duties by the Senior Resources Boards.

E. Senior Resources Boards

Senior Resources Boards are advisory to the Deputy Directors and the Chairman, "E" Service and each will consist of a chairman and senior Career Service officers who are members of the SIS. Primary functions are to:

1. Establish systematized Development Programs for SIS-1, 2 and 3 level officers in conformance with policy directives and uniform criteria and standards as prescribed by the DCI. These Development Programs will provide for the selection and planned development through selective assignments and training of promising candidates from grades GS 13-15 level officers for future entry into the SIS and the continuing professional development of SIS members through level SIS-3. Those SIS-3 level officers identified as having high potential for SIS-4 level will be provided developmental experiences (assignments and training) as prescribed by the DCI/DDCI.

2. Conduct an annual review of all performance appraisals completed by component supervisors of SIS-1, 2, and 3 level members (regardless of Career Service designation) assigned in the component and the supervisory recommendations for their upcoming year performance and rank stipend awards. Submit results of these reviews as appropriate to the Directorate Deputy Directors or the Chairman, "E" Service who upon review and approval will forward to the Director of Personnel for consolidation for the DDCI.
3. Conduct at least annually, competitive merit promotion reviews for SIS careerists using uniform promotion criteria and standards (and any special Career Service criteria and standards as approved by the DDCI).

COMMENTARY

The SIS management system described above is designed to utilize, initially, the existing major organizational and, as appropriate, Career Service jurisdictional authority structures and methodological concepts as much as possible. Performance awards and rank stipends recommended for any SIS member assigned within a Directorate or the "E" Service organizational elements will be acted on by the Deputy Directors or Chairman, "E" Service to which assigned.

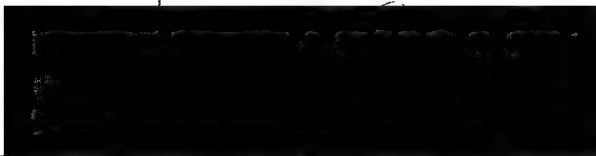
As with all parts of the SIS, these proposals are designed to

support the initial start-up phase of the system. Further refinements can best be developed in an actual operational environment and system management must be flexible enough to accept changes.

The above proposals are:

☒ APPROVED ☐ DISAPPROVED

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Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 2

THE SIS MEMBERSHIP SYSTEM

SUB-SYSTEM CONTENT

This sub-system covers basic policies, principles and the related procedures applicable to membership in the SIS for "on board" eligible personnel and for those officers who are accepted into the SIS subsequent to the initial date of implementation of the SIS System.

The Task Group proposes that the following basic policies and principles be established (procedures would be subsequently developed on the basis of these policies and principles):

- A. All individuals who are "on board" on the initial date of implementation of the SIS System and hold SG rank, SPS rank and those at EP-V and EP-IV levels will be offered "conversion" membership in the SIS. (Acceptance of such conversion membership shall not cancel, alter nor curtail any administration or other actions affecting such members that were in effect or in process at the time of conversion.)
- B. General personnel procedures and benefits to apply as follows:

PERSONNEL MANAGEMENT FEATURE	ELECTION TO SIS	ELECTION TO REMAIN UNDER THE CURRENT SYSTEM
1. Assignment/ Conversion (Under SIS all supergrade, SPS, EP-V and EP-IV positions will become SIS positions.)	Will be assigned to an SIS position and receive no less than current rate of pay. No trial period will be required upon initial election to SIS.	If currently assigned to an SIS designated position, the incumbent may be retained in that position. However, may be replaced by an SIS appointee if so determined by the DCI. Thereafter, will be reassigned to a non-SIS position and the DCI/DDCI will determine grade, pay retention or reduction. If in the future again offered an SIS appointment, a one-year probationary period will be required.
2. Promotions	Subject to competitive evaluation for promotion by Career Service.	Will not be promoted above current grade.

PERSONNEL MANAGEMENT FEATURE	ELECTION TO SIS	ELECTION TO REMAIN UNDER THE CURRENT SYSTEM
3. Performance Awards and Stipends	Eligible for perfor- mance awards (differing percentages of base pay), a Meritorious Officer Award of \$10,000 or a Distinguished Officer Award of \$20,000. (See the brochure for the basis of awards and limitations thereon.)	Will not be eligible for performance awards designated for SIS members.

PERSONNEL MANAGEMENT FEATURE	ELECTION TO SIS	ELECTION TO REMAIN UNDER THE CURRENT SYSTEM
4. Annual Leave* and Sabbaticals* *(The OGC has expressed concern that this benefit, if approved, may have to be authorized under the special authority of the DCI.)	There will be no limitation on accrual of annual leave except that 80 hours accrued in the leave year must be used or forfeited. The "80 hours use or lose" rule does not apply to individuals who retire during or by the end of the leave year. They may receive a lump sum payment for that leave. May be authorized one sabbatical up to eleven months during any ten- year period. To be eligible, must have seven years of service equivalent to the levels of duties and responsibilities found in SIS positions. Two years service following the sabbatical is required.	Annual leave entitlements remain subject to current Agency regulations and will not be entitled to the SIS sabbatical.

PERSONNEL MANAGEMENT FEATURE	ELECTION TO SIS	ELECTION TO REMAIN UNDER THE CURRENT SYSTEM
5. Reassignment	Eligible for reassignment to other SIS positions at equivalent level or higher.	Not eligible for reassignment to SIS positions.
6. Compensation	Subject to statutory levels and future grade and pay determinations made by DCI/DDCI.	Subject to statutory levels. Though assigned to an SIS position, will retain GS, SPS or EP rank subject to future grade and pay determinations made by the DCI/DDCI.
7. Senior Officer Development	May be required to participate in an SIS Senior Officer Development Program for managers or non-managers depending on status.	As determined by the DDCI.

- C. After the date established for conversion election of current eligibles for membership in the SIS System, those officers who are accepted into the SIS will be subject to a one-year trial period where their performance will be evaluated. Less than fully satisfactory performance (e.g., Performance Appraisal Report overall rating of 3 or below) during the trial period will require administrative action and decision including possible reduction in pay level or separation if warranted.
- D. An appropriate SIS membership document will be designed for acceptance and execution by each SIS member.

COMMENTARY

None.

25X1A The above proposals are:

☒ APPROVED () DISAPPROVED



Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 3

SIS CEILING AND POSITION MANAGEMENT CONTROLS

SUB-SYSTEM CONTENT

This sub-system will cover policies, principles and procedures relative to the management and administration of SIS ceiling allowances and their allocation and distribution within CIA; establish distinctions among levels of responsibility among SIS positions; and position management and controls.

The Task Group has developed proposals for this sub-system relative to basic policies and principles in order to proceed with the further development of this important sub-system. These proposals are as follows:

A. Management of SIS Ceiling Allowances

1. As of the date of implementation of the SIS, the number of SIS ceiling allowances will equate to the number of SG, SPS and EP-V and EP-IV allowances currently authorized for CIA.
2. The initial distribution to SIS ceiling allowances to the Career Services will be the same as currently allocated.
3. Subsequent adjustments to the distribution of ceiling allowances will be approved by the DDCI.
4. Uniform procedures will be developed which prescribe the methodology and substance for the submission of requests for increases in SIS ceiling allocations.

COMMENTARY

The total number of SG, SPS and EP-V and EP-IV ceiling allowances currently approved for CIA appears adequate for the SIS.

Any increase in such ceiling will require justification to OMB and the Congressional Oversight Committees. At such a time as it is determined by the DCI/DDCI that additional ceiling is required, such requests can be presented.

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The above proposals are:

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Deputy Director of Central Intelligence

27 SEP 1979

Date

B. SIS Position Management and Controls

The Task Group proposes that as of the date of implementation of the SIS, all positions currently classified on the Table of Organization at the GS-16, 17 and 18 levels, all SPS positions, and all EP-V and EP-IV positions be redesignated as SIS positions.

COMMENTARY

This proposal represents the present policy whereby any position that is audited and adjudicated at the SG or SPS level is entered on the T/O at the classified grade level.

The external limitations imposed by OMB as to the number of SG or SPS officers that can be employed at these levels is an incumbent control and is not relative to the adjudicated evaluation of total positions.

The present policy also provides a degree of flexibility to the component managers to elect which positions can be filled by SG or SPS officers at any point in time. The integrity of classification concepts to adjudicate positions at their appropriate grade is preserved under current policy.

In previous issues with both OMB and Congressional Committees regarding defense of the number of SG ceiling allocated to CIA, the fact that OP/PMCD had audited and classified more SG positions on the Tables of Organization than our allocated ceiling could accommodate was an important factor in defending retention of our current allocations.

The above proposals are:

() APPROVED () DISAPPROVED

25X1A

Deputy Director of Central Intelligence

27 SEP 1979

Date

C. Establishing Pay Level Distinctions Between SIS Positions

The Civil Service Reform Act does not require the use of position classification techniques to establish different levels for SES positions. Conventional position classification, however, is required for the adjudication of non-managerial supergrade jobs.

Under OPM guidance/instructions to agencies covered under Civil Service Reform Act, differentiation between levels of executive/managerial positions is required. While not prohibiting formal classification of SES positions, OPM proposes that differentiation be controlled by position analysis and the development of specific "qualification standards" that SES members must meet to be selected for assignment to a specific SES position.

These qualification standards will establish the distinctions between levels of responsibility and performance demands through their application to proposed incumbents for a position rather than position standards per se. This approach fixes responsibility with component managers to develop and apply definitive qualification standards to determine which of the six Executive Schedule levels (e.g., ES-1 through ES-6) a position incumbent should be paid to ensure that the individual is neither overpaid nor underpaid relative to their respective responsibilities.

While the OPM approach warrants consideration and, if stringently administered, would provide the required distinctions between levels of responsibility, consideration of other approaches whereby SIS positions would be adjudicated on their own merits through modified position classification techniques may be a more effective approach.

The Task Group, therefore, proposes that in order to provide for the initial conversion of the existing SG, SPS and EP-V and EP-IV position structure to the SIS structure, an interim schedule be implemented to directly convert, without further audit, all current eligible senior level positions in accord with the position conversion table presented in the attachment.

COMMENTARY

The Task Group recommends that studies be continued on this subject by the Office of Personnel to explore the practicability of developing other options for establishing distinctions between the levels of SIS positions.

The above proposals are:

☒ APPROVED () DISAPPROVED

[REDACTED]

Deputy Director of Central Intelligence

27 SEP 1979

Date

PROPOSED INITIAL POSITION CONVERSION TABLE

FUNCTIONAL LEVEL	FROM CURRENT POSITION LEVEL	TO SIS POSITION LEVEL
Deputy Directors	EP-IV	SIS-6
Associate Deputy Directors Senior Staff Specialists Senior Office Heads	EP-V	SIS-5
Office Chiefs DDO Division Chiefs Senior Group and Staff Chiefs Senior Analysts Senior Operations Officers SPS-9's	GS-18	SIS-4
Deputy Office Chiefs Senior Analysts Senior Operations Officers SPS Equivalents	GS-17 and "High Point" GS-16's and SPS Equivalent	SIS-3
All other managers Senior Analysts Senior Operations Officers Staff Chiefs SPS Equivalents	All other GS-16's and SPS Equivalent Based on Relative Strength of the Position	SIS-2 or SIS-1

SUB-SYSTEM 4

THE SIS PERFORMANCE APPRAISAL SYSTEM

SUB-SYSTEM CONTENT

The Performance Appraisal Sub-System is probably the most important element of the SIS System in that it will provide the mechanism for determination of compensation for all SIS members on the basis of the objective evaluation of executive performance against specific organizational and individual objectives agreed upon and assigned at the beginning of the annual evaluation period. The performance appraisal will also be a key element for promotion, employee development, assignment, retention and other administrative actions.

The Task Group proposes the following basic policies, principles and procedures:

A. General Policies and Procedures

1. The performance of all members of the SIS will be evaluated on an annual basis (with special reports as otherwise required) in accordance with published schedules for the completion of such evaluations.
2. The SIS Performance Appraisal System will utilize the standard performance appraisal format (Form 45) including the Advance Work Plan developed for the performance evaluation of all employees. In addition to the general policies and principles applicable to the Agency's uniform performance appraisal system, any specific policies, principles, standards and procedures established for the SIS Performance

Appraisal System will be followed in the evaluation of SIS members. Any such special instructions for the completion of Advance Work Plans and Performance Appraisal Reports of SIS members will be provided in supplemental instructions to be added to the standard Form 45 guidance material.

3. All completed Performance Appraisal Reports will be forwarded by the rating supervisor together with a separate recommendation for compensation awards for each rated individual through the reviewing officer to the Directorate Deputy Director or the Chairman, "E" Career Service under whom assigned.
4. The Deputy Directors and the Chairman of the "E" Service, with the advice as requested of their Senior Resources Boards, will forward the SIS Performance Appraisal Reports and recommendations for compensation determinations for each SIS member to the Director of Personnel for consolidation and preparation for DDCI approval.
5. Rated individuals are not to be informed as to whether or not they are being recommended for performance/rank awards.

B. Specific Policies and Procedures

1. Standards of Performance, Performance Evaluation Ratings and Their Relationship to Compensation
 - (a) The overall performance rating and individual duty ratings on the annual Performance Appraisal Report (PAR) and their relationship to any established

criteria and standards of performance (which must be described, understood and agreed upon in the Advance Work Plan) will provide the basis for determination of the rated individual's eligibility to be recommended for performance awards and/or rank stipends.

- (b) An overall performance evaluation rating of level 5, 6 and 7 and individual duties evaluated at no less than level 5, will qualify an SIS member for consideration of a performance award.
- (c) An overall performance evaluation rating of level 4 will eliminate the individual for consideration for any performance awards.
- (d) An overall performance evaluation of level 3 will only assure the rated SIS member of retention of basic annual salary level for the initial subsequent year following a level 3 rating. SIS members in this category are required to be counselled by the Head of the Career Service and must participate in a remedial program developed by the Career Service to assist the individual in overcoming any deficiencies in his or her performance.
- (e) Two successive annual overall performance ratings of level 3 or a single annual overall performance rating of level 2 or 1 require that the Heads of Career

Service refer the case to the Director of Personnel with a recommendation for administrative action (this can include retention in the SIS under closely observed probation for a definitive period of time; removal from the SIS and reduction to GS-15 level status and compensation; or termination from employment). The Director of Personnel will recommend to the DDCI the administrative action to be taken.

2. Addendum to the Advance Work Plan for SIS Members

In addition to completion of the Advance Work Plan at the beginning of each annual evaluation period, a supplemental Statement of Understanding will be executed by the SIS member and the rating supervisor. This Statement of Understanding will inform the SIS member of the specific policies of the SIS Performance Appraisal System as regards established criteria and standards of performance and the consequences of overall performance evaluation ratings on basic annual salary, eligibility for performance awards, consideration for future promotion and retention in the SIS and/or CIA.

COMMENTARY

The concepts, structure and format of the new standard Agency Performance Appraisal System meets all of the general requisites of the SIS. As previously noted, any special instructions or guidances pertinent to SIS performance evaluations will be included in a supplemental

instruction sheet added to the Form 45 guidance material.

The effectiveness of the PAR as the basis for compensation determinations for SIS members will be totally dependent on the objectivity of the rating officers who prepare the performance appraisals and the subsequent actions of the final decision authority.

The above proposals are:

☒ APPROVED

☐ DISAPPROVED

[REDACTED]

Deputy Director of Central Intelligence

27 SEP 1979

Date

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SUB-SYSTEM 5

FUNDING, COMPENSATION AND AWARDS

SUB-SYSTEM CONTENT

This sub-system, like the Performance Appraisal Sub-System, is a key element in the SIS System and will provide the essential elements driving the ultimate effectiveness of the SIS System at large.

The content of this sub-system will address the policies and processes for: implementing the initial conversions of the salaries of on-board eligibles for the SIS to the new Senior Intelligence System Schedule rates (SIS rates in the proposed system); will establish the SIS basic awards and stipend schedules; and will lay out the criteria and procedures for compensation determinations.

The Task Group proposes the following for the "start-up" year:

A. Initial Conversions to the New SIS Schedule Rates

1. It is proposed that for purposes of effecting the initial conversion of current annual salary rates for SG, SPS and EP-V and EP-IV officers, that the six Executive Schedule Pay rates established by the President for the SES be utilized.

Such rates for the SIS will be designated as follows:

SIS-1	\$47,889
SIS-2	\$49,499
SIS-3	\$51,164
SIS-4	\$52,884
SIS-5	\$54,662
SIS-6	\$56,500

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2. All current eligibles who elect membership in the SIS will have their basic annual salary rate converted to an appropriate SIS level upon implementation of the SIS System.
3. Current eligibles converted to the SIS cannot receive an annual salary less than that payable at the time of conversion to an SIS rate.

B. Proposed Salary Conversion Schedule

Based upon the existing rates for Supergrade, SPS, EP personnel and without regard to the existing statutory salary limitations, a logical conversion table of SG, SPS and EP levels (grade and step) to the new, albeit compressed, Executive Schedule scale is necessary and appropriate to discriminate among major levels of responsibility.

The proposed conversion table, attached as Tab A, is the minimum considered equitable; is consistent with the new Executive Schedule rates; and permits conversion of SIS members consonant with their current status and responsibilities.

As is apparent, the Presidential SES rates are extremely compressed and offer such limited flexibility that the end result will be compression at the SIS-3 and SIS-4 rates. Over a period of time, and assuming the statutory ceiling on executive pay is lifted and Executive Schedule rates for the SES are adjusted annually along with the GS Schedule, the compression should be reduced and eventually eliminated.

C. Funding and Cost Comparisons

As of 30 June 1979, the CIA had a total of [REDACTED] officers in grades EP-IV, EP-V, SPS, and GS-16 through GS-18. Tab B provides

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details. The aggregate current CIA annual direct payroll cost is

██████████ Tab C provides more detailed data.

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Conversion of the CIA's 30 June 1979 senior staff who would constitute the SIS would result in increased basic annual payroll costs of some ██████████ (assuming the ES rates as proposed by the President to become effective 1 October 1979 are implemented by the Congress).

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The actual increased annual base salary cost could be greater if conversion is not made consistent with the proposed conversion table (Tab A). Increased costs will also accrue when all SIS allowances (currently ██████████ are filled and compensated at SIS rates.

In addition, performance awards and stipends will add to the increased costs of the SIS. Such costs are addressed in the following section.

D. Awards and "Rank" Stipends

1. General Proposals

- a. The Civil Service Reform Act establishes a system of performance awards and rank stipends (e.g., Distinguished and Meritorious Executives) for the Senior Executive Service, which the Task Group proposes be adopted for the SIS.
- b. The total number of performance awards may not exceed 50% of the total number of SIS ceiling. This limitation was instituted in the Civil Service Reform Act to ensure selectivity with only the strongest performance warranting awards. In the CIA, assuming that no change in the current number of ceiling positions is involved, ██████████ performance

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awards could be granted. The number of rank stipends also is limited based on the number of SIS members (1% for Distinguished Officers and 5% for Meritorious Officers) amounting to some [REDACTED] in the SIS.

- c. The DDCI will allocate to each Directorate Deputy Director and the Chairman "E" Career Service for planning purposes a number of performance awards each may recommend. These allocations will be determined on the basis of such factors as organizational performance and availability of funds. An exact formula will be determined at a later time.

2. Specific Proposals

a. Awards and Stipends

- (1) Performance Awards - The Agency Performance Appraisal Report (PAR) will be the primary basis for determining eligibility for a performance award. An SIS member who has received an overall evaluation of 4 is considered to have performed in a fully satisfactory manner. However, an evaluation of 5 or better and a rating of no less than 5 of each individual duty is required for consideration for a performance award. Rating officers must recognize that the number of performance awards is limited to 50 percent of the total number of SIS ceiling allowances and should recommend awards for only the most deserving officers.

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- (2) Meritorious Officer Stipends - Meritorious Officer Awards of \$10,000 may be granted to SIS members for excellence in the performance of their duties. To be eligible for a Meritorious Officer Award, an SIS member must have an overall PAR rating of 6 or better with ratings of at least 6 on all individual duties. Rating officers should recognize that not more than 5 percent of all SIS members may be granted a Meritorious Officer Award and should recommend only those who clearly deserve such recognition.
- (3) Distinguished Officer Stipends - A Distinguished Officer Award of \$20,000 may be granted to a limited number of SIS members for atypical performance which is judged to be truly outstanding. To be eligible for a Distinguished Officer Award, an SIS member must have an overall PAR rating of 7, ratings of 7 on most individual duties, and a rating of no less than 6 on any individual duty. Such awards may be granted to not more than 1 percent of the total SIS staff.
- (4) Awarding of Rank Stipends - During any fiscal year, SIS members may be granted either a Meritorious or a Distinguished Officer Award. An officer awarded either a Meritorious or Distinguished Officer rank stipend shall not be eligible to be awarded that same rank during the following four fiscal years.

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- (5) Performance Awards Schedule - The Task Group explored several ways to establish "Performance Award Schedules" and proposes a program offering three "classes" of performance awards based upon percentages of basic annual salary rates. This schedule is presented in Tab D. The "three class" awards schedule permits granting cash amounts substantial enough to provide rewards and incentives for excellence of performance and differentiation between differing demands of similar positions. Such inducements are particularly important should Congress continue the current freeze of executive pay.
- (6) Awards Costs - The actual annual cost is, of course, not known. However, for purposes of discussion until there is an experience factor on which to base future estimates, we suggest using an annual estimate of awards costs of [REDACTED] This estimate is based on the award/stipend profile attached, as Tab E.

b. Proposed System for Recommending Performance Awards

Following completion of all PAR's on SIS members for which the rating officer is responsible, the rating officer will determine which SIS officers should be recommended for a performance award. While the PAR will be the primary basis for determining eligibility for an award, the rating officer must also take any other DCI/DDCI approved criteria into

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consideration in formulating and presenting recommendations for performance awards and stipends.

Recommendations for performance awards, while based on performance against assigned objectives and the contributions made to the Agency and to furthering its basic mission, must be made in consideration of the limit on the number of such awards which can be made (i.e., 50 percent of the number of total authorized SIS ceiling allowances). Also, determination of the Class of Award (A, B, or C) should be made in recognition of the Agency-wide prescribed ceiling on the number of awards in each class which can be approved. A proposed ceiling for each Class of Award, expressed as a percentage of the total awards which can be granted, is summarized as in the following example:

Class A	-	25 percent
Class B	-	30 percent
Class C	-	45 percent
TOTAL		

25X9

Based on a current ceiling of [REDACTED] SIS positions, the actual 25X9 number of awards of each class which might be granted is shown parenthetically.

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The process through which recommendations for awards are made, reviewed, evaluated, and approved--including responsibilities related thereto--is as follows:

(1) Supervisor

- (a) Prepares PAR(s) on SIS member(s) under his/her direct supervision, evaluating performance against the agreed upon Advance Work Plan.
- (b) Determines whether performance during the past year warrants a recommendation for a performance award.

- 1 If a performance award is not considered appropriate based on performance in relation to other SIS members and recognizing the limitation on the number of awards which can be granted, no further action is required.
- 2 If a performance award is considered justified, a determination is made as to whether a Class A (20 percent), Class B (12 percent), or Class C (7 percent) award should be recommended. This determination should be based on the SIS member's overall and individual duty performance and contributions during the past year.
- 3 The performance award recommendation(s) will be forwarded to the PAR reviewing official for endorsement. If a performance award is

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recommended for more than one SIS member, the awards will be prioritized.

(2) Reviewing Officer

- (a) Reviews the PAR.
- (b) Comments in each case on the recommendation (or absence of a recommendation) by the rating officer for a performance award, indicating concurrence or nonconcurrence (and the reasons therefore in the latter case) with the recommendation and, if applicable, on the prioritization by the rating officer.
- (c) Forwards the PAR(s) and recommendation(s) to the next senior level official.

(3) Senior Operating Official

- (a) Reviews the recommendations for performance awards for all SIS members assigned to the component.
- (b) Comments on the appropriateness of the performance awards (including the class of award) recommended by rating and reviewing officers.
- (c) Prepares a prioritized listing of those SIS members in the component for whom performance awards are recommended. The number of Class A and Class B

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may not exceed the Agency-prescribed ceiling for these two classes (i.e., Class A - 25 percent, Class B - 30 percent).

- (d) Forwards the list of SIS members endorsed for performance awards.

(4) Senior Resources Boards

As requested by the Deputy Directors and Chairman 'E' Career Service:

- (a) Reviews the recommendations endorsed by Operating Officials.
- (b) Comments on the appropriateness of performance awards (including the class of award) endorsed by Operating Officials.
- (c) Prepares a list of SIS members recommended for performance awards. The number of Class A and Class B awards may not exceed the Agency-prescribed ceiling for these two classes (i.e., Class A - 25 percent, Class B - 30 percent).
- (d) Identifies those SIS members recommended for performance awards who should also be recommended for either a Meritorious or Distinguished Officer Award. Prepares formal recommendations for such awards.

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(e) Forwards the list of those SIS members recommended for performance awards, and for Meritorious and Distinguished Officer Awards to the Directorate Deputy Director or Chairman 'E' Career Service who after review forwards recommendations to the Director of Personnel for preparation for DDCI approval.

c. Other Benefits

- (1) Annual Leave* - There shall be no limitation on the accumulation of annual leave accrued by an individual while serving in a position in the SIS except that 80 hours of the leave accruing during each leave year must be used or forfeited. The "80 hour use or lose" rule does not apply to individuals who retire during or at the end of the leave year. They may be paid a lump sum payment for that leave.
- (2) Sabbaticals* - Sabbaticals may be granted to SIS members. An SIS member is eligible for only one sabbatical for up to 11 months during any 10 year period. To be eligible, SIS members must have 7 years of service equivalent to the levels of duties and responsibilities of positions in SIS (e.g., current SG, SPS, EP). SIS members must

* (The OGC has expressed concern that this benefit, if approved, may have to be authorized under the special authority of the DCI.)

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remain in the Federal service for two years following the sabbatical period.

- (3) Travel and Moving Expenses - External applicants under consideration for selection and Agency employment at SIS levels will have their travel expenses for interviews and processing and related travel and moving expenses upon EOD paid from CIA funds in accord with existing policies and regulations for these categories of payments.

COMMENTARY

The proposals presented above for this sub-system would provide for the initial implementation of the SIS System with minimal complications while providing a final review and approval mechanism at the DCI/DDCI level for all such awards within the Agency. Once experience is gained with the operating program, modifications could be made to improve any facet of this sub-system.

The above proposals are:

☒ APPROVED

☐ DISAPPROVED

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Deputy Director of Central Intelligence

27 SEP 1979

Date

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TAB A

PROPOSED INITIAL INCUMBENT CONVERSION TABLE

GS	FROM		TO	
	SPS	EP		
GS-16/1 - 5	SPS 1 - 2		SIS-1	\$47,889
GS-16/6 - 9	SPS 3 - 4		SIS-2	\$49,499
GS-17	SPS 5 - 8		SIS-3	\$51,164
GS-18	SPS 9		SIS-4	\$52,884
.		EP-V	SIS-5	\$54,662
.		EP-IV	SIS-6	\$56,500

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SUB SYSTEM 6

COMPETITIVE PROMOTION

SUB-SYSTEM CONTENT

This program element will cover the policies, principles and procedures pertinent to promotions into and within the SIS.

PROPOSALS

A. Annual Promotion Targets

1. Promotions to SIS-1 and SIS-2 - In preparing their Annual Personnel Plans, the Heads of the Career Services will establish minimum annual promotion targets for entry into the SIS (SIS-1) and promotions of SIS members under their Career Service jurisdiction to SIS-1 and SIS-2.
2. Promotions to SIS-3 and Above - The DCI/DDCI will establish procedures for the selection of candidates for promotion to SIS-3 and above.

B. Procedures for Processing and Approval of Recommendations for Promotion

All recommendations for promotion into the SIS and within the SIS will be forwarded to the Director of Personnel for review and preparation for DCI/DDCI approval.

The above proposals are:

(✓) APPROVED () APPROVED

[REDACTED]

Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 7

SENIOR OFFICER DEVELOPMENT

SUB-SYSTEM CONTENT

This sub-system will contain the scope, policies, and procedures for the development of SIS members and those officers of lower grades with potential for more senior responsibilities.

The Task Group offers the following basic proposals for consideration for establishing a broad based development program for the SIS:

A. Purpose of Instituting a Senior Officer Development Program

The purposes for instituting a formalized system for the planned and systematic development of senior level officers and selected individuals in the lower grades for future assignment to senior level responsibilities are to expand and enhance their managerial and/or substantive knowledge, skills and capabilities to ensure that the missions and functions of the DCI and the specific missions and functions of all CIA components are carried out in the most competent and effective manner possible; and to assist and encourage individuals to realize their fullest potential as professional officers.

B. Scope of the Senior Officer Development Program

1. The Senior Officer Development Program will be incorporated and administered as an integral element of the SIS System.
2. All SIS members will participate in formalized developmental programs to the extent considered appropriate by senior management.

C. The General Structure of the Senior Officer Development Program

All SIS-5 and 6 level officers will be personally administered by the DCI/DDCI. In recognition of the different development requirements identified with senior management at the CIA level and those at the Directorate level, the SIS Officer Development Program for SIS-1 through SIS-4 level officers will be organized in two basic sub-programs, each structured to the level of SIS members to be included and tailored to substantive content as appropriate to the needs of CIA, identified for future staffing and skill requirements, and the SIS members themselves.

The principal features of these sub-programs are:

1. Sub-Program I: SIS-4 Level and Selected SIS-3 Level

The DCI/DDCI will establish officer developmental requirements, planning and actions pertinent to SIS-4 level officers and selected SIS-3 officers identified as having the potential for future SIS-4 level status and assignments. The Heads of Career Services will administer and implement developmental plans for their SIS-4 and the selected SIS-3 careerists according to the instructions of the DCI/DDCI. These prescribed requirements would include such things as:

- (a) Developmental planning and actions for current SIS-4's designed to prepare them better for carrying out their current functional responsibilities and to expand their qualifications for future consideration by the DCI/DDCI for SIS-5 level responsibilities.

- (b) The establishment of a suitably sized group of selected SIS-3 level officers for selective developmental assignments and training.
- (c) Maintenance of records on the status of developmental program which includes the identity of all SIS-4 and SIS-3 officers identified for development for more responsible positions and the specific progress on developmental assignments and training planned.

2. Sub-Program II: SIS 1 Through 3 Level

This sub-program will be administered by the Directorate Deputy Directors and the Chairman of the "E" Service and will encompass the developmental requirements for SIS-1 through SIS-3 level officers (both managerial and non-managerial); selected officers within pre-SIS development groups, and the projected staffing and skill requirements primarily associated with each Directorate per se.

The SIS-1 through 3 developmental requirements are composed of a mix of both managerial and non-managerial requirements that must be addressed in different ways.

Deputy Directors and the Chairman, "E" Career Service therefore must establish two focuses within their developmental program. One which concentrates on meeting the "managerial" needs of the Career Service itself but which complements the CIA program requirements and secondly, and of equal importance,

a focus on recognizing and meeting the non-manager specialist (e.g., Senior Analysts, Operations Officers, and SPS Officers) requirements and enhancement of the substantive expertise associated with the particular missions and functions peculiar to each of the Directorates and the "E" Service.

To meet these two facets of requirements, the Directorate Deputy Directors and Chairman, "E" Service must establish two development "tracks" which will resemble each other in terms of structures and mechanics but with different substance, criteria and emphasis on the content of the operating programs.

In the context of the above, the principal features of this sub-program will include:

- (a) Developmental planning and actions for SIS-1 through 3's and a selected development group along the same conceptual lines as the Sub-Program I.
- (b) Unlike Sub-Program I where a relatively few position requirements are involved and specific targets for replacements can be specified, Sub-Program II with its greater volume and variety of requirements lends itself to a more generalized approach to groupings of "types" of projected requirements and a broader band of people being developed according to a more

general rather than highly individualized plans.

- (c) Maintenance of records and periodic reports to the DCI/DDCI on the status of the developmental program would be required.

COMMENTARY

The present CIA Executive Development Program (i.e., the PDP) by intent has been directed at only a small segment of the Agency's SG population and is designed to provide a 'manager development' system with emphasis on the development of selected GS 13-15 officers to meet future senior managerial requirements.

In order to more effectively meet the DCI's needs and to fully complement the SIS System, the Senior Officer Development Program must be expanded and tailored to meet all SIS level needs (with recognition that SIS-4, SIS-5 and SIS-6 levels will be personally administered by the DCI/DDCI). Approval of the basic concepts presented for this sub-system will permit the further development of the extensive administrative details required for a fully operational program.

The above proposals are:

(✓) APPROVED

() DISAPPROVED


Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SECTION 8

ADVERSE AND OTHER ADMINISTRATIVE ACTIONS

SUB-SYSTEM CONTENT

The sub-system covers the general procedures to be followed in disciplinary actions; in remedial, probationary and removal actions based on performance and in grievances.

The Task Group proposes that:

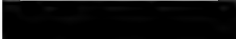
A. In cases of disciplinary actions, current procedures continue.

B. In cases of performance deficiencies which must be based on Performance Appraisal Procedures:

1. Initially, operating officials recommend to the Deputy Director concerned, in writing, remedial actions to be taken and establishing time frames for improvement.
2. If initial remedial action does not correct the deficiencies, the operating officials recommend to the Deputy Director concerned, in writing, specific probation periods as last chance efforts to help improve performance.
3. If the above steps fail, cases are submitted with full documentation to the Director of Personnel for removal consideration either from SIS or the Agency by the DCI/DDCI.
4. The Director of Personnel monitors all cases in all stages.

C. Grievances can take a number of forms such as dissatisfaction with performance ratings, with not receiving performance awards, with not receiving high enough performance awards or with remedial, probationary

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or removal decisions. The basic rules set forth in Agency Headquarters
 on Grievance Systems generally apply.

COMMENTARY

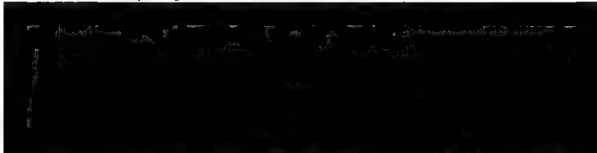
More detailed procedures will need to be developed if the above
general ones are approved in order that actions described can be taken
fairly, quickly and in the best interest of both the SIS member and SIS.

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The above proposals are:

☒ APPROVED

☐ DISAPPROVED



Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 9

EVALUATION OF THE SIS SYSTEM

SUB-SYSTEM CONTENT

This element will define the responsibilities and processes of periodic monitoring of the effectiveness of the SIS operating program, adherence to policies and scheduled reporting to the DCI/DDCI to permit evaluation of the management of the SIS program.

The Task Group proposes that the Office of Personnel's Personnel Management Evaluation Staff, in cooperation with the SIS Support Staff, be charged with the development of an SIS Program Evaluation Plan including the Senior Officer Development Program. Such plan will be submitted to the DDCI for review and approval by 30 November 1979.

COMMENTARY

None.

The above proposals are:

(✓) APPROVED

() DISAPPROVED

Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 10

INITIAL PUBLICITY AND ORIENTATION

SUB-SYSTEM CONTENTS

This sub-system would provide for the initial internal agency publicity and orientation necessary for executives to understand the Senior Intelligence Service System and to make personal decisions on joining. In addition, it will provide an understanding of the system to support personnel and their roles relative to its administration.

The Task Group proposes the following steps to meet the above objectives:

- A. Prepare letters from the DCI to all prospective SIS members inviting them to join the Senior Intelligence Service. Also, prepare membership election letters from the Director of Personnel informing prospective members of SIS provisions and requesting their membership election decisions.
- B. Develop and publish a Senior Intelligence Service booklet summarizing major provisions of the program. This booklet is envisioned as containing general information for all interested employees, senior officer and otherwise.
- C. Develop and publish article(s) for the DDA Exchange on the Senior Intelligence Service.
- D. Orient SIS members on the content and application of the revised Performance Appraisal System in the SIS context.
- E. Brief support elements (e.g., personnel, finance, and training officers) on the SIS and relate to their roles.

F. Write and publish notices on various aspects of initiating the SIS and subsequent changes.

Longer range training and orientation for current and future executives is considered under the Senior Officer Development Program. (See Sub-System 7.)

COMMENTARY

It is of the utmost importance that all those employees who are directly affected by, or in support of, the Senior Intelligence Service System understand it fully. The thoroughness with which this is done may well determine the degree of support, acceptance and, even, success the new system will attain. The style and professionalism of the various presentations, therefore, should be of the highest quality.

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The above proposals are:

(☒) APPROVED (☐) DISAPPROVED



Deputy Director of Central Intelligence

27 SEP 1979

Date

SUB-SYSTEM 11

REGULATIONS AND PROCEDURAL GUIDES

SUB-SYSTEM CONTENT

The sub-system provides for the development and/or revision and publication of regulations, handbooks and procedural guides necessary to the implementation and continuing administration of the Senior Intelligence Service System.

The Task Group proposes the following steps to attain these objectives:

- A. Write regulations on the policy, structure, responsibilities, authorities and operating procedures of the Senior Intelligence Service and coordinate as appropriate.
- B. Search existing regulations and procedures (e.g., finance/personnel) to recommend appropriate revisions or deletions and to ensure consistency among regulations.
- C. Develop handbooks and procedural guides on the operational details of the SIS for use by managers in administering the program and by support personnel in accomplishing the administrative details.

COMMENTARY

The actual development for publishing any of these materials obviously cannot commence until the specifics of the SIS program are approved.

The above proposals are:

☒ APPROVED

☐ DISAPPROVED

Deputy Director of Central Intelligence

27 SEP 1979

Date